



Practitioner's Docket No. 14211.00002

Sector \$
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Breuninger, Peter

Application No.: 09/978,163

Group No.: N/A

Filed: October 15, 2001

Examiner: Not Assigned



01-14-2002

U.S. Patent & TMO/TM Mail Rcpt Dt. #66

For: Method and System for Managing Portfolio Accounts

Box Missing Part
Assistant Commissioner for Patents
2900 Crystal Drive
Arlington, VA 22202

COMPLETION OF FILING REQUIREMENTS
-- NONPROVISIONAL APPLICATION

- I. This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed November 15, 2001.

A copy of the Notice to File Missing Parts of Application--Filing Date Granted (Form PTO-1533) is enclosed.

CERTIFICATION UNDER 37 C.F.R. § 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional)

646902.1 1/10/02

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner of Patents, Washington D.C. 20231

☐ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Addressee" Mailing Label

No. _____

☐ facsimile transmitted to the Patent and Trademark Office, 703 _____

TRANSMISSION

Kathy Henry Krajicek
Kathy Henry Krajicek

Date: January 10, 2002

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

DECLARATION OR OATH

- II.** No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

SMALL ENTITY STATUS

- III.** Applicant claims small entity status (see 37 CFR 1.27).

COMPLETION FEES

IV.

- | | |
|---------------------------------------|----------|
| 1. Filing Fee | |
| Original patent application | |
| (37 C.F.R. Section 1.16(a)) | \$370.00 |
| 2. Fees for Claims | |
| Each independent claim in excess of 3 | |
| (37 C.F.R. Section 1.16(b)) | \$378.00 |
| Each claim in excess of 20 | |
| (37 C.F.R. Section 1.16(c)) | \$171.00 |
| 3. Surcharge Fees | |
| Late payment of filing fee | |
| and/or late filing of original | |
| declaration or oath | |
| (37 C.F.R. Section 1.16(e)) | \$65.00 |
| Total Completion Fees | \$984.00 |

EXTENSION OF TIME

- V.** The proceedings herein are for a patent application, and the provisions of 37 C.F.R. Section 1.136(a) apply.

Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

TOTAL FEE DUE

VI. The total fee due is:

Completion fees	\$984.00
Extension fee (if any)	\$0.00
 Total Fee Due	 \$984.00

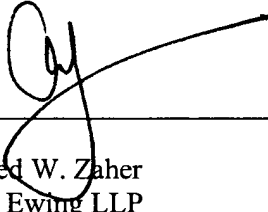
PAYMENT OF FEES

VII. Charge Account No. 50-1089 in the amount of 984.00.

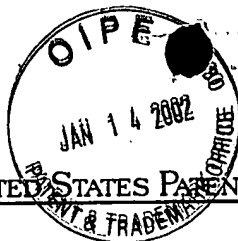
A duplicate of this request is attached.

Please charge Account No. 50-1089 for any fees that may be due by this paper.

Reg. No.: 42,248
Tel. No.: 215-972-8385
Customer No.: 28134



Alfred W. Zaher
Saul Ewing LLP
Centre Square West
1500 Market Street, 38th Floor
Philadelphia, PA 19102



UNITED STATES PATENT AND TRADEMARK OFFICE

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 WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/978,163	10/15/2001	Peter Breuninger	14211.00002

CONFIRMATION NO. 3933

FORMALITIES LETTER



OC000000007074994

 28134
 SAUL EWING LLP
 CENTRE SQUARE WEST
 1500 MARKET STREET, 38TH FLOOR
 PHILADELPHIA, PA 19102-2186

Date Mailed: 11/15/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 370 to complete the basic filing fee for a small entity.
- Total additional claim fee(s) for this application is \$558.
 - \$180 for 20 total claims over 20.
 - \$378 for 9 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 993.

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01 FC:203 9.00 CH

*A copy of this notice **MUST** be returned with the reply.*

01/29/2002 MBERHE 00000042 501089 09978163

01 FC:201	370.00 CH
02 FC:205	65.00 CH
03 FC:202	378.00 CH
04 FC:203	171.00 CH

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE